

FORM PTO-1390  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

30429.2USWO

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

09/980564

INTERNATIONAL APPLICATION NO.  
PCT/US00/15442INTERNATIONAL FILING DATE  
01 June 2000PRIORITY DATE CLAIMED  
01 June 1999

## TITLE OF INVENTION

RECOMBINANT ADENOVIRAL VECTORS FOR CELL SPECIFIC INFECTION AND GENOME INTEGRATION AND EXPRESSING CHIMERIC  
FIBER PROTEINS

## APPLICANT(S) FOR DO/EO/US

Andre Lieber, Dmitry Shayakhmetov, Denise Farrer, Thalia Papayannopoulou and George Stamatoyannopoulos

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☒ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☒ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:  
(1) IPER has not been issued for this application but will be forwarded as soon as we receive it; (2) transmittal sheets in duplicate; (3) Postcard; (4) Application Data Sheet; (5) Supplemental Response to Written Opinion; (6) Communication Under PCT Rule 92bis; (7) Paper copy of Sequence Listing; (8) Declaration Pursuant to 37 C.F.R. 1.821(f); (9) Copy of the International Search Report; (10) Recordation Form Cover Sheet

09/980564

JUL 30 2001 PCT/PTO 3 0 NOV 2001

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.  
PCT/US00/15442ATTORNEY'S DOCKET NUMBER  
30429.2USWO21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO . . . . . \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO . . . . . \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . . \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . . \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . . \$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS PTO USE ONLY

\$ 690.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	98 - 20 =	78	x \$18.00	\$ 1404.00

Independent claims	4 - 3 =	1	x \$80.00	\$ 84.00
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MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 280.00
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**TOTAL OF ABOVE CALCULATIONS =**

\$ 2458.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2. +

\$ 1229.00

**SUBTOTAL =**

\$ 1229.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$ 1229.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 200.00

**TOTAL FEES ENCLOSED =**

\$ 1429.00

Amount to be  
refunded:

\$

charged:

\$

a. ☒ A check in the amount of \$ 1429.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 50-0306 in the amount of \$ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 50-0306. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:  
MANDEL, SaraLynn; ADRIANO, Sarah B.  
MANDEL & ADRIANO  
35 N. Arroyo Parkway, Suite 60  
Pasadena, California 91103  
United States of America

SIGNATURE

Sarah B. Adriano

NAME

34, 470

REGISTRATION NUMBER

**IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

**Applicant:** André Lieber, Dmitry Shayakhmetov, Denise Farrer, Thalia Papayannopoulou and George Stamatoyannopoulos  
**Filed:** November 30, 2001  
**U.S. Serial No.:** Not Yet Assigned  
**Docket:** 30429.2USWO  
**Title:** RECOMBINANT ADENOVIRAL VECTORS FOR CELL SPECIFIC INFECTION AND GENOME INTEGRATION AND EXPRESSING CHIMERIC FIBER PROTEINS

**CERTIFICATE UNDER 37 CFR 1.10**

'Express Mail' mailing label number: ET842493966US

Date of Deposit: November 30, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: *Renato Marco P. Domingo*  
 Name: Renato Marco P. Domingo

BOX PCT  
 Assistant Commissioner for Patents  
 Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10
- ☒ Exhibit 1 - Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (2 sheets)
- ☒ Exhibit 2 - Utility Patent Application: Spec. 113 pgs; 98 claims (10 pages); Abstract 1 pg.
- ☒ Exhibit 2 - 32 sheets of drawing
- ☒ Exhibit 3 - Copy of Response to Written Opinion (22 pages)
- ☒ Exhibit 4 - Copy of Supplemental Response to Written Opinion (13 pages)
- ☒ Exhibit 5 - Executed Combined Declarations and Powers of Attorney (12 pages)
- ☒ Exhibit 6 - Executed assignments of the invention to University of Washington, Recordation Form Cover Sheet (26 sheets)
- ☒ Exhibit 7 - Preliminary Amendment (3 pages)
- ☒ Exhibit 8 - Published International Application - WO00/73478 (156 pages)
- ☒ Exhibit 9 - Application Data Sheet (2 sheets)
- ☒ Exhibit 10 - Communication Under PCT Rule 92bis (4 pages)
- ☒ Exhibit 11 - Computer readable form and Paper Copy of Sequence Listing (4 sheets)
- ☒ Exhibit 12 - Declaration Pursuant to 37 C.F.R. §1.821(f) (1 sheet)
- ☒ Exhibit 13 - Copy of the International Search Report (6 sheets)
- ☒ A check in the amount of \$1429.00 to cover the Filing Fee (\$1229.00) and Assignment Recording Fee (\$200.00)
- ☒ Return postcard

09/980564

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DOMESTIC)

30 NOV 2001

**Applicant:** André Lieber, Dmitry Shayakhmetov, Denise Farrer, Thalia Papayannopoulou and George Stamatoyannopoulos

**Filed:** November 30, 2001

**U.S. Serial No.:** Not Yet Assigned

**Docket:** 30429.2USWO

**Title:** RECOMBINANT ADENOVIRAL VECTORS FOR CELL SPECIFIC INFECTION AND GENOME INTEGRATION AND EXPRESSING CHIMERIC FIBER PROTEINS

BOX PCT  
 Assistant Commissioner for Patents  
 Washington, D.C. 20231

## CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
<b>Basic Filing Fee</b>								\$345.00
<b>Total Claims</b>								
98	-	20	=	78	x	9.00	=	\$702.00
<b>Independent Claims</b>								
4	-	3	=	1	x	42.00	=	\$42.00
MULTIPLE DEPENDENT CLAIM FEE								\$140.00
TOTAL FILING FEE								\$1229.00

Please charge any additional fees or credit overpayment to Deposit Account No. 50-0306. A duplicate of this sheet is enclosed.

**MANDEL & ADRIANO**

35 N. Arroyo Parkway, Suite 60  
 Pasadena, CA 91103  
 (626)395-7801

By: Sarah B. Adriano  
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